PREPARING FOR AND CONDUCTING A HEAD START REVIEW USING THE NEW PRISM 2006 SOFTWARE: GUIDANCE #1

This resource document provides guidance on various activities to be completed both prior to and over the course of the review week. The document indicates who on the team (team FTL, RC, and/or reviewers) is responsible for the various activities. At the end of this document extra guidance is provided for conducting follow-up reviews. Please be sure to review the follow-up guidance if you are scheduled for a follow-up review.

A. Prior to the Review

1. *FTL:* "Provide team access" to the review from your computer using the PRISM Web interface (https://PRISMweb.lewin.com/prism/login.do). Provide access one week prior to the review's start date. This task MUST be completed to enable yourself, the RC and/or other review team members to download the content of the review prior to arriving on site.

2. *RC (required)/FTL and Review Team Members (optional, depending on whether using laptop in the field):* Load *current* version of the PRISM 2006 Software Stand-Alone Interface onto the laptop you will bring into the field (Note: please check http://www.acf.hhs.gov/programs/hsb/prism/ for the current version prior to leaving for a review).

3. *RC:* Synchronize the PRISM 2006 Software's Stand-Alone Interface with the PRISM 2006 Website (using the laptop you will bring with you to the field). This process downloads the content of the review from the web to the laptop. ***This step requires Internet access and should be completed before leaving for the review, as Internet access may be limited on site.***

4. *All team members:* View grantee documents collected and posted during the Advanced Activities phase on the PRISM Web Interface.
   - To view documents log-in to the PRISM 2006 Web Interface (address appears in step (1) using your Danya assigned userid (this is the same userid used by the Head Start Reviews website) and select the "contact the grantee" task.
   - The documents are available in the "history" section of that task.
   - If you are logging in for the first time, your DANYA-assigned user ID serves as both your user name and password (the password field is case sensitive) and the system will ask you to change your password. After that, use your new password.

B. Saturday

Fiscal reviewer (recommended): Arrive on-site to begin review of fiscal documents.

C. Sunday

All team members:

1. Arrive on-site

2. Participate in the Sunday team meeting
   - Determine who has a laptop with the current version of the PRISM 2006 Stand-Alone software. (Note: If a team member has not yet loaded the PRISM 2006 standalone software on his/her laptop, he/she will not be able to synchronize with the RC to download the report's content. Please see step A.2 above.)
   - Determine who does not have a laptop but may wish to borrow a computer to complete the review in the software.

3. Determine a process for sharing computers, following guidance provided in the PRISM 2006 Software Guidance #3 resource document entitled, "Sharing Laptops on Reviews." The way in which users share computer affects the successful transmission of the team's data. It is essential that teams clearly establish a system for sharing computers by which users log onto the software using their own usernames, and synchronize the computer in which they are working with another computer (either the next one with which they work or the RC's computer) in a systematic fashion. Contact the helpdesk if your team is unclear on computer sharing and/or synchronization after reviewing the guidance.

4. Review Core Question Assignments.

5. Review On-Site Logistics: Exchange cell phone numbers; schedule ongoing team meetings; determine schedule for writing and submission of drafts, review "check out" procedures.

Report Coordinator:

1. Set up the router (See The Lewin Group's PRISM 2006 Software Guidance #4: Basic Router Installation Instructions for guidance on routers. This information is posted at: http://www.acf.hhs.gov/programs/hsb/prism/, the PRISM Software General Information website.

2. Have all team members synchronize with your laptop to download the review's content onto their laptops
   - Some users may have firewalls on their laptops. The Lewin Group's PRISM 2006 Software Guidance #2 on firewalls provides guidance on enabling the firewalls to recognize and allow PRISM software to pass through the firewall. This information is posted at http://www.acf.hhs.gov/programs/hsb/prism/, the PRISM Software General Information website.

3. Determine who has access to the RC, FTL, Center and Delegate checklists. The first person who synchronized with the Web Interface to download the review to the Stand-Alone Interface is assigned ownership of these checklists.
   - This is typically the RC. (Note that the person who is assigned these checklists, or, who has access to them, will be able to select the "yes" and "no" buttons).
   - If it is someone other than the FTL or the RC, have that person "assign" that checklists to the appropriate person (i.e., RC or FTL), then synchronize their computer with the person to whom they have assigned the checklists. That will ensure that the correct person has access to those checklists.

D. Monday - Wednesday
All team members:
1. Collect information throughout the day. Use the Protocols, Checklists, Observation tools, Interview Guides, and Core Questions Notes to document information collected, either electronically or on hard copy paper.

2. *Reviewers who choose not to use laptops:* Continue to gather data on paper, providing the RC evidence for issues and areas of noncompliance to be entered into the software, as well as any paper-based notes.

3. Attend team meetings
   - *Team members with laptops:* Synchronize with the Report Coordinator at the start of the meeting. This initial synchronization step transfers all of the information you recorded over the course of the day to the RC's computer.
   - After everyone has synchronized with the RC, reviewers should synchronize a second time to have the full team's data transmitted back to your computer to view all information collected by all team members. *(For more detailed illustrations of sharing computers and synchronization please see the PRISM 2006 Software Guidance #3 on sharing laptop computers.* This information is posted at http://www.acf.hhs.gov/programs/hsb/prism/, the PRISM Software General Information website.)

4. Generate Issues and Preliminary Areas of Noncompliance
   - As the week progresses, "issues" being "investigated" may become "preliminary areas of noncompliance" if sufficient evidentiary support exists.
   - As the week progresses, "issues" being "investigated" that have insufficient evidence are "closed."
   - As the week progresses, "preliminary areas of noncompliance" that are corrected during the on-site review become "preliminary areas of noncompliance corrected during the review" and narrative is edited to reflect this correction.

Report Coordinators:

1. You are neither required nor encouraged to electronically record the information reviewers collect on hard-copy *tools and instruments*. However, **all preliminary areas of noncompliance must be entered into the software under the appropriate core question in order to appear in the report to the grantee.**

2. *(optional):* Print a list of issues and preliminary areas of noncompliance to facilitate discussion:
   - Print summary of issues being investigated, assign to team members, as appropriate.
   - Print summary of preliminary areas of noncompliance – look for interrelationships.

3. Synchronize to transmit the assignments to the assigned review team member's computer. ***Do not electronically assign core questions or instruments to reviewers who are not using laptops!***

Federal Team Leaders:

1. Reassign core questions or issues among team members, as necessary.

2. Monitor the issues identified throughout the week, and advise the team on how to proceed (e.g., which require further investigation, which contain sufficient evidence to be considered preliminary areas of noncompliance, etc.)

3. Manage the team's activities throughout the week, adjusting assignments and activities as necessary.

4. All team members using laptops should leave each team meeting with the latest version of information available based on the discussion during the team meeting.
   - If individual team members have updated information in the software during the team meeting, the team should engage in its synchronization process, whereby each team member who has updated information on his/her laptop synchronizes with the RC to transfer this data to the RC's computer.
   - Then, after all team members have transferred their data to the RC's computer (via the synchronization process), team members should re-synchronize with the RC to receive the entire set of data available back on their own computer.

E. Thursday and Friday

All team members:

1. Continue to refine then finalize all preliminary areas of noncompliance.

2. Those using laptops: Only after the team leader has confirmed that you have completed your assignments and sufficiently documented your preliminary areas of noncompliance and supporting evidence, synchronize with the RC again, transferring all assignments to the RC by:
    *   Selecting the "synchronize" button
    *   Selecting the option to synchronize with the website
    *   Selecting the option to assign all items assigned to you to another person or the website
    *   Selecting the review you are currently working on
    *   Selecting the RC's name from the drop-down menu

    This process transfers ownership for all of your data to the RC.
    *   Marking that you are finished with the review by selecting the box above the red text.

    This last step removes the review from your laptops. **DO NOT mark "complete" if you are not finished with the review.**

RCs and FTLs:

1. Review the preliminary areas of noncompliance comprising the preliminary review report to ensure the quality of the narrative and evidentiary support.

2. If reviewers have completed their assignments and have documented all preliminary areas of noncompliance and supporting evidence, RCs should synchronize with their computers to receive all of the latest data.

3. By the end of the review, all data created on reviewers' computers should be transferred to the RCs computer so all data is compiled into a single preliminary review report.

F. CLOSING OUT THE REVIEW (TYPICALLY FRIDAY)

The Federal Team Leader and Report Coordinators work together to close out the review.

1. *FTL:* Confirm that all work has been completed.

2. *RC and FTL:* Complete the review. Ensure that all issues determined to be preliminary areas of noncompliance are indicated as such by changing the "status" to "preliminary area of noncompliance" (or, "PANC corrected in the field for those corrected during the on-site visit).

3. *RC:* If internet access is available, synchronize with the PRISM 2006 Web Interface and indicate that you are done with the review, assigning all items to the

website. If Internet access is not available, complete this step when you arrive home.

- If you complete this step, the Federal team leader can log onto the PRISM Web Interface (https://prismweb.lewin.com/prism/login.do), select the grantee, and view the preliminary areas of noncompliance on the "areas of noncompliance" summary page.
- This page provides a summary of the preliminary areas of noncompliance identified in each core question.

4. *RC:* Prepare binders by:
   - Collecting ALL written material from reviewers. This includes completed protocols, interview notes, checklists, etc. MAKE SURE EVERY PIECE OF INFORMATION INCLUDED IN THE BINDER IS SIGNED BY THE REVIEWER WHO GENERATED IT.
   - Update the "Index" page in the binder, which serves as the Table of Contents. Make sure ALL papers included in the binder are listed in the order they appear in the binder. When the binder is ready, the FTL and RC sign the index page.
   - THE INDEX PAGE MUST BE SIGNED BU THE FTL AND RC AND FAXED TO DANYA (send to Dawn Skowronski at 240-645-1563)

5. *RC:* Mail review documents (binder) to the FTL's Regional Office.

G. After the review

1. *FTL:* Check to see that all team members have completed the review and have synchronized with the web. To do this, log-in to the PRISM 2006 Web Interface (https://PRISMweb.lewin.com/prism/login.do) and select the "Conduct Review" task for this review. If reviewer names appear in red, these individuals have not completed a final synchronization.

2. *FTL:* You can check the status of your review on the Web Interface by clicking on the "areas of noncompliance" button on the "Review Summary" page of the grantee's record. The "preliminary area of noncompliance" list indicates the number of preliminary areas of noncompliance identified in each core question. You can click on the core question to view the citation and read the narrative for each preliminary area of noncompliance.

3. *FTL:* Change the status of the "Conduct Review" task to "Review Complete" once you are satisfied that all data has been received by the PRISM Web Interface. This process closes the review to both you and the review team, and makes the data available to Danya for the quality control and report analysis process